

CHAPTER 171. INTERNATIONAL FIELD OFFICE RESPONSIBILITIES FOR RENEWAL/AMENDMENT PROCEDURES OF REPAIR STATIONS UNDER THE MAINTENANCE IMPLEMENTATION PROCEDURES OF A BILATERAL AVIATION SAFETY AGREEMENT

SECTION 1. BACKGROUND

1. PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.

A. Maintenance: 3045, 3240, 3376, 3653

B. Avionics: 5045, 5240, 5376

3. OBJECTIVE. This chapter must be used in conjunction with Advisory Circular (AC) 145-7, Issuance of Repair Station Certificates to Foreign Approved Maintenance Organizations Under the Maintenance Implementation Procedures of a Bilateral Aviation Safety Agreement, as revised (Interim BASA/MIP Guidance). It describes the process to renew or amend a Federal Aviation Administration (FAA) repair station certificate for stations located outside the territory of the United States in accordance with (IAW), the maintenance implementation procedures (MIP) of a bilateral aviation safety agreement (BASA). At the time of publication, this chapter applies to Germany, Ireland, and France because each of these countries has signed a BASA/MIP with the United States.

5. GENERAL.

A. FAA-certificated repair stations located outside the United States fall under the provisions of Title 14 of the Code of Federal Regulations (14 CFR) part 145. The certification of repair stations outside the United States is a response to the need to perform maintenance on or an alteration or modification of aeronautical products subject to U.S. airworthiness regulations in foreign countries. (See chapter 170, section 1, paragraph 5 for additional general information and paragraph 7F for definitions and acronyms.)

B. Background.

(1) As part of the pre-MIP assessments and evaluation program, the FAA made a determination

that the National Aviation Authorities' (NAA) process and procedures met or exceeded FAA requirements. FAA aviation safety inspectors (ASI) should note that this guidance would apply to many different countries; therefore, the surveillance report documents are referred to by a variety of different names, titles, and/or numerical identifications. This document will reference European Aviation Safety Agency (EASA) Form 6, Surveillance/Inspection Report, as the surveillance document. As part of the assessment, the FAA and EASA agreed upon an FAA annex to EASA Form 6. In some cases, the NAA inspector must submit the forms and associated documents to the NAA regional or headquarters offices for review and conversion into the English language. The FAA agrees that the time frame for such translations is at the NAA's discretion, but they should be completed in a timely manner in order to facilitate renewal of the repair station certificate before the repair stations current certificate expires.

(2) The FAA has developed some unique policies that pertain specifically to foreign repair stations and are applicable under a BASA/MIP. The FAA has determined that the affected policies will be located in AC 145-7, as revised (Interim BASA/MIP Guidance).

7. RENEWAL AND AMENDMENT PROCESS.

A. The applicant Aircraft Maintenance Organization (AMO) may request renewal or amendment to an existing part 145 certification when the AMO is located in a country that has signed a BASA/MIP with the United States using the procedures located in AC 145-7, as revised. The BASA/MIP allows the FAA to accept the certification system of the BASA/MIP country. The guidance provided in this chapter allows the FAA inspector to accept the surveillance and recommendations required for renewal or amendments to a part 145 certificate by

recognizing the process and procedures of the NAA when following the terms and conditions of the MIP.

NOTE: A preapplication phase is not required for renewal or amendment to a part 145 certificate.

B. Formal Application Phase. The FAA has no responsibility in this phase. The applicant will follow the procedures of the NAA and must meet the requirements of AC 145-7, as revised.

C. Document Compliance Phase. The FAA has no responsibility in this phase. The applicant must comply with the requirements in AC 145-7, as revised. The NAA will review all documents submitted for compliance with AC 145-7 using NAA procedures.

D. Demonstration and Inspection Phase. The FAA has no responsibility in this phase. The NAA will perform facility inspections for compliance with AC 145-7, as revised.

E. Certification Phase. The FAA is responsible for issuing the certificate and FAA operations specifications (OpSpecs) when it receives the appropriate documents and NAA recommendation. (See section 2 for details.)

9. TRANSITION PLAN FOR MULTIPLE FACILITIES UNDER ONE FAA CERTIFICATE.

A. The AMO must hold a valid [NAA] certification issued under EASA part 145 and be in compliance with the most current EASA part 145. The FAA may issue an AMO one certificate that covers multiple locations within the MIP country provided the additional locations are listed in, and utilizing, that AMO's Maintenance Organization Exposition (MOE), and the additional locations are part of the EASA part 145 certificate, the additional facilities must also be listed in the FAA supplement.

NOTE: Due to the administrative burden on the NAA and FAA, the FAA cannot support applications for multiple facilities that are not part of a certificate renewal package.

B. If applicable, a copy of the AMO manual supplement section that identifies the multiple facility location, that the AMO intends on utilizing its FAA certificate privileges must be provided as part of the renewal application package. (The list should include the address of each location, telephone and fax number, e-mail address if available, and identify the NAA office with oversight responsibility.)

C. The NAA must provide the FAA annex to EASA form 6 for each additional location.

SECTION 2. PROCEDURES

1. PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites:

- Knowledge of the regulatory requirements of 14 CFR parts 43 and 145
- Completion of the Airworthiness Inspector's Indoctrination course(s) or equivalent
- Previous experience with certification or surveillance of part 145 repair stations
- Completion of FAA-approved computer-based instruction training, course number 27012, when implemented (currently being revised)
- Completion of the foreign repair station course or equivalent, course number 21058, as revised
- Completion of AFS-300/AEA-230 IFO interim guidance seminars (pending completion and publication of BASA/MIP training program)
- Completion of BASA/MIP training course currently under development
- Knowledge of Interim BASA/MIP Guidance

B. Coordination. This task requires coordination with:

- The applicant AMO
- The NAA of the country in which the applicant AMO is located

3. REFERENCES, FORMS, AND JOB AIDS.

A. References:

- 14 CFR parts 43 and 145
- Order 8300.10, Airworthiness Inspector's Handbook, vol. 2, chapters 161, 163, 164, 165, 170, and 172; and vol. 3, chapter 99

- AC 145-7, Issuance of Repair Station Certificates to Foreign Approved maintenance Organizations under the Maintenance Implementation Procedures of a Bilateral Aviation Safety Agreement as revised.

B. Forms:

- FAA Form 8000-4, Air Agency Certificate
- Automated Repair Station Operations Specifications
- FAA Form 8310-3, Application for Repair Station Certification and/or Rating
- NAA approval certificate and OpSpecs document, defining the AMO's limitations (in the case of the EASA, use EASA Form 3, Approval Certificate and Approval Schedule)
- Interim BASA/MIP Guidance (FAA annex to EASA Form 6)

NOTE: In some cases, the NAA has approved procedures for the AMO to make changes to its limitations or approved the use of a Capabilities List (CL) (see chapter 170 or AC 145-7, as revised, for a description of a CL). In these cases, the applicant must submit the NAA-approved revision procedures if any changes have been made since its last renewal.

- NAA surveillance/inspection report (or FAA Annex to EASA Form 6), NAA Surveillance Report and Recommendation for FAA Certification/Renewal/Amendment
- NAA internal evaluation report (or EASA Form 7, Maintenance Airworthiness Standardization Team, MAST Visit Report), if applicable

C. Job Aids.

- TBD (no later than June 2006)

5. PROCEDURES.

A. Renewal Application: NAA Responsibilities.

(1) *Preapplication Phase (not applicable under a BASA/MIP).* No FAA actions are required.

(2) *Formal Application Phase.*

(a) To renew its FAA repair station certification, an AMO will submit the documents below to its NAA IAW NAA procedures. The 14 CFR part 145 requires the AMO to submit the documents to the FAA via the NAA no later than 30 days before the expiration of the current part 145 certificate. However, the FAA recommends submission at least 60 days before the expiration date to allow the NAA and FAA sufficient time to process the application and collect the appropriate fees.

i. FAA Form 8310-3. If the AMO has revised its list of maintenance functions to be performed for the AMO under contract by another maintenance organization since its last renewal, the revision must be included.

ii. A statement of continuing needs to maintain or alter U.S.-registered aircraft and/or aeronautical products being installed on U.S. registered aircraft since the AMO's last renewal (see AC 145-7, as revised, for criteria of need requirement). If the AMO is unable to establish the continuing need requirement, the FAA will renew the AMO's certificate based on its previous continuing need statement. However, the AMO and its NAA will be advised in writing that, if at the time of its next renewal the AMO is still unable to show a continuing need, the FAA may require the repair station to adjust their capabilities list or may adjust the repair station rating to reflect the repair station not being able to meet the criteria set forth in AC 145-7, as revised. (14 CFR part 145 does not require an activity report/list.)

(b) *FAA Guidance.*

i. If the AMO does not apply for a renewal of its FAA repair station certification before the certificate expiration date, it must follow the procedures for applying for an initial certification.

ii. During this phase, the FAA inspector is not required to take any actions other than to answer questions posed by the NAA.

NOTE: The FAA recognizes that during the renewal process, there may be some confusion and misunderstandings. Therefore, on request and recommendation from the NAA, the FAA will extend additional time needed for renewal. The FAA also recognizes that the multiple languages involved in the renewal process may require additional allowances at the NAA's request. (The FAA may issue a short term certificate not to exceed 90 days based on a request from the NAA. This may cause an additional fee to be charged.)

(3) *Document Compliance Phase.*

Normally, no FAA action is required. Under the BASA/MIP process, it is the NAA's responsibility to review all documents submitted before forwarding them to the FAA.

(a) The NAA will review the AMO's renewal application and the results of previous audits/inspections.

(b) Any deficiencies noted during the NAA review of the documents are handled IAW NAA procedures. If the AMO's 14 CFR part 145 repair station certificate expires during the recommended 60-day renewal application period, or in the event of unusual circumstances as discussed in the above note, the NAA will advise the FAA. The FAA inspector may either issue a short term certificate or, depending on the nature of the deficiencies, amend the repair station's ratings, provided the AMO demonstrates an ability and willingness to correct the noted deficiencies. The short term certificate typically is issued for 1 to 3 months, depending on circumstances. This process will require close coordination with the NAA and is only used when requested by the NAA.

(4) *Demonstration and Inspection Phase.* No FAA action is required. Under the BASA/MIP, this is the NAA's responsibility.

(a) If the information the AMO submits is acceptable, the NAA will conduct surveillance using the appropriate NAA surveillance form (or EASA Form 6, including the FAA annex), an oversight audit of the AMO for compliance with NAA requirements (or EASA part 145), and FAA Special Conditions. A series of partial NAA audits using the appropriate surveillance forms (or EASA Form 6) may collectively fulfill the requirement to perform a complete EASA Form 6 audit, including the FAA annex. It should be noted that the NAA must complete

the appropriate surveillance form for each line station and/or multiple facility covered under the FAA certificate. The NAA must ensure the surveillance forms for each location is attached to the renewal package to the FAA.

NOTE: Adding line stations requires changing pages A004 and D107 of the OpSpecs. Multiple facility locations need only be listed in the FAA supplement.

(b) Any deficiencies the NAA notes during the oversight audit are handled as specified in paragraph 5B(3)(a). The FAA inspector will become involved in this phase only in the event of unusual circumstances or upon request by the NAA.

B. Certification Phase: FAA Responsibilities.

(1) If the NAA oversight audit indicates that the AMO is in continued compliance with NAA requirements (or EASA part 145) and FAA Special Conditions, the NAA will complete the appropriate NAA surveillance form (FAA annex to EASA Form 6) or FAA/NAA-accepted equivalent documentation for each line station and/or multiple facilities covered under the FAA certificate, along with the NAA recommendation, and forward the complete renewal application to the appropriate FAA International Field Office (IFO) no later than 30 days before the expiration date of the AMO's CFR part 145 repair station certificate. (The applicant and NAA are encouraged to forward the renewal package as soon as possible to the FAA to facilitate prompt certificate renewal).

(2) The FAA inspector must receive the following documents from the NAA:

- FAA Form 8310-3, to include a list of maintenance functions to be performed for the AMO under contract by another maintenance organization if the AMO has revised the list since its last renewal
- A copy of the appropriate NAA surveillance form (FAA annex to EASA Form 6) or FAA/NAA-accepted equivalent documentation, with the NAA recommendation

NOTE: NAA will provide a completed copy of the appropriate surveillance form

for each line station and/or multiple facility approval that are operating under the single FAA repair station certificate located within the MIP country.

- A copy of the list of multiple facilities (if revised since its last renewal)
- A copy of the list of line stations operating under its FAA certificate, located within the MIP country (if revised since its last renewal)
- Copy of the NAA approval certificate and limitations (or EASA Form 3) and the Approval Schedule
- A copy of the LEP or a Letter of Approval for the training program showing NAA approval on behalf of the FAA if any revisions have taken place since its last renewal, AC 145-7, as revised.

(3) The FAA inspector must review all the documents in the renewal application package to verify they are complete and acceptable. The FAA inspector also will verify there are no outstanding issues involving corrective action by reviewing the NAA's findings in the recommendations section of the surveillance form (or FAA Annex to EASA Form 6). The FAA will follow the corrective action policy identified as follows:

(a) The MIP allows the FAA to recognize the corrective action of the NAA without additional FAA action. The NAA inspector must provide the FAA with a recommendation on the appropriate surveillance form indicating any of the findings/discrepancies listed below. When the findings/discrepancies have been corrected or a plan for corrective action has been accepted by the NAA, any enforcement action taken by the NAA as a result of the findings/discrepancies will not affect the recommendation. The NAA must attach the plan for corrective action to the appropriate surveillance form when submitted to the FAA. The following are reportable issues that should be described on the NAA surveillance form:

- Serious failure to comply with national regulations and requirements (or EASA part-145)

- Overall failure to comply with FAA Special Conditions identified in the MIP and AC 145-7, as revised
- Failure to use FAA-approved data for major repairs, alterations, or modifications
- Failure of the repair station to maintain a working quality control system (or EASA-approved Quality Monitoring System) or internal self-audit system

(b) When the NAA finds significant safety issues using the criteria above, they should provide the FAA with a non recommendation if no corrective action has been taken and no plan for corrective action has been accepted by the NAA. The FAA may decline to renew the repair station certificate until corrective action has taken place or a NAA-approved plan for corrections has been submitted with the appropriate surveillance form. There may be occasions when a short-term certificate is issued while corrective action is taking place. In those cases, the short term certificate should be issued for no more than 90 days and only with the agreement of the NAA. As a second option, the FAA may reduce the rating of the repair station pending corrective action. Once all corrective actions have been completed to both the FAA's and the NAA's satisfaction, the certificate should be renewed for the balance of the remaining 24 months from its original renewal date in order to keep the renewal schedule.

(c) *Unsatisfactory Application.* If the FAA inspector finds the documentation supporting an AMO's renewal application is unsatisfactory, the inspector will prepare a memorandum or e-mail to the NAA indicating any deficiencies noted. The NAA, in turn, will notify the AMO of the FAA's findings. FAA will continue the renewal process once all deficiencies are resolved.

NOTE: The NAA inspector should complete the findings section of the FAA annex to the surveillance form. The NAA should place special emphasis on ensuring the findings, and if necessary, a corrective actions plan be included as an attachment to this form. The findings are an essential part of determining how well the MIP is working and where improvements in the process need consideration. The finding do not reflect any

deficiencies in the NAA abilities, however they will provide the FAA and the NAA with data to identify areas that may need to be improved or information on areas that should be considered for removal from the MIP.

(d) The FAA inspector should review the renewal package verifying that the appropriate surveillance forms are included. Verify that the appropriate surveillance forms for each line station and/or multiple facilities covered under the FAA certificate are included. Review office file to verify each line station and/or multiple facilities are listed as part of the certificate. If a new location has been added or if a location has been deleted from the listing, the inspector should make the appropriate change to the OpSpecs.

(e) *Training Program.* The FAA inspector should review the repair station List of Effective Pages (LEP) or Letter of Approval to verify the NAA has approved the training program on behalf of the FAA. It should be noted that if the repair station revised its training program, the NAA is obligated under its requirements to approve each revision. (EASA part 145 training requirements exceed 14 CFR part 145 requirements.)

(4) The FAA will advise the AMO of the total fee due. The fee should be calculated using AC 187-1, Flight Standards Service Schedule of Charges Outside of the United States (as revised or Interim BASA/MIP Guidance), and should be restricted to administrative cost.

(5) The FAA determines that the fee has been paid IAW office procedures. (The FAA will not issue an FAA certificate or OpSpecs until it receives payment of the prescribed fee. The CHDO may make exceptions based on delays that may occur in the transaction, and possible internal AMO corporate procedures and internal CHDO procedures.)

(6) The FAA inspector determines that the application package is correct and complete, that the AMO has received a positive recommendation from the NAA, and that the AMO meets all the requirements for certificate renewal.

(7) Once the FAA inspector has determined the applicant AMO's application package is acceptable, the inspector will complete Form 8310-3, parts 6 through 10, paying particular attention to the following items:

(a) Part 6 will include a statement as follows: “The Repair Station Certificate Operations Specifications were issued under the Terms and Conditions of the BASA/MIP between the United States and [insert name of country].”

(b) Part 7 will be completed to indicate the NAA’s findings and recommendation.

(c) Part 8 will be completed to indicate the date the NAA oversight audit was completed.

(d) Part 10, will be completed by the FAA ASI. (When the ASI signs part 10, they are signing for receiving the required information IAW the BASA/MIP process, not the inspection of the facility.

(8) The inspector will issue:

(a) FAA Form 8000-4, Air Agency Certificate. The certificate must contain the appropriate FAA rating (i.e., limited airframe). The NAA certificate number will be listed in the limitations section of the OpSpecs.

(b) Automated Repair Station Operation Specifications (see office files for example; OpSpecs must include paragraph A060).

NOTE: The OpSpecs must include the appropriate NAA certificate number and rating. The number and NAA rating will be listed in the limitations section of the OpSpecs. In the case of the EASA, the inspector must use the EASA certificate number and rating listed on EASA Form 3, and the Approval Schedule.

(9) The FAA inspector will complete Form 8000-4 IAW the guidance in chapters 161 and 162, paying particular attention to the following:

(a) The applicant AMO’s FAA ratings will be indicated on Form 8000-4. The FAA inspector should ensure that the appropriate FAA rating is applied to the certificate, i.e., Limited Airframe, Limited powerplant, etc., using the cross-reference chart located in the appendix to AC 145-7, as revised.

(b) The FAA inspector must adjust the 14 part 145 certificate’s renewal expiration date to coincide with the AMO’s NAA recommended surveillance schedule as indicated on the FAA annex to EASA form 6. If conflicts arise between the NAA

recommendation for renewal, and FAA allowable time frames the NAA and the FAA inspector should communicate in order to facilitate an agreed upon date that meets 14 CFR part 145 requirements. However, the date to be indicated after “shall continue in effect” should not be more than 24 months from the original certificate renewal date and must align with the NAA surveillance schedule, unless there is a need to issue short-term certificates as per paragraph 5E(iii), (iv) and (v).

(c) The language at the bottom of Form 8000-4 stating “Any alteration of this . . . or both” should be crossed out IAW chapter 161.

(d) Where a geographic authorization was issued to an applicant AMO to support a U.S. air carrier or part 129 operators, such authorization will be indicated on the Air Agency Certificate and Repair Station OpSpecs. (See AC 145-7, as revised, for geographic policy.)

(e) The privileges of the part 145 certification should not exceed the AMO’s NAA rating (EASA approval, ratings, and limitations). Therefore, FAA certification will be limited by the EASA Approval Schedule (EASA Form 3, issued to the AMO).

(10) The FAA inspector will complete the Automated Repair Station OpSpecs IAW the guidance in chapter 162, paying particular attention to the following:

(a) Statements will be included on the OpSpecs as follows:

- The repair station specified on these OpSpecs is performing maintenance on and/or alteration of aircraft and/or aeronautical products to be installed on aircraft under the terms and conditions of BASA and the associated MIP between the U.S. Government and the Government of [insert name of country]
- The privileges of a line station located outside the geographic boundaries of the MIP country, as set forth by any NAA line station rating, are not authorized

(b) The line stations and/or multiple facilities located within the MIP country as authorized by the NAA will be listed in the FAA supplement to the repair station manual (in the case of the EASA, in the Maintenance Organization Exposition (MOE) FAA supplement) and line station authorizations will be listed in the FAA Automated OpSpecs (OpSpecs A004 and D107) geographic authorizations located outside the MIP country (OpSpec B050). Authorized locations and their limitations will be identified on the Repair Station OpSpecs under "Ratings" as "Limited Geographic Authorization," and will be under the surveillance of the FAA. See AC 145-7, as revised for FAA policy on geographic authorization and Chapter 162 for the procedures for issuing geographic authorization.

(d) For OpSpecs that reference a CL, the following statement (or one similarly worded) should be included under the appropriate rating:

- Maintenance or alteration functions limited to those make and model components shown on [AMO's] approved Capabilities Document number [XX], dated [XX/XX/XX], as revised

(11) The FAA inspector will retain for inclusion in the repair station (AMO) certification office file:

- A completed FAA Form 8310-3
- A copy of FAA Forms 8000-4 and a signed copy of the Automated OpSpecs when received from the AMO
- The appropriate NAA surveillance form (or FAA annex to EASA Form 6), including any plan for corrective action (see paragraph 5B(3) of this chapter)
- A copy of the NAA approval certificate and ratings (or EASA Form 3 and Approval Schedule)
- Copies of all appropriate communications with NAA to ensure a proper document trail
- Copies of all appropriate communications with NAA to ensure a proper document trail

- A copy of the list of multiple facilities located within the MIP country that are covered under one FAA certificate (if revised during this renewal cycle)

NOTE: Multiple facility locations need only be listed in the FAA supplement.

- A copy of the list of Line Stations operating under the FAA certificate within the MIP country (if revised during this renewal cycle)
- Training program List of effective Pages (LEP) or letter of approval showing NAA approval on behalf of the FAA (if revised during this renewal cycle)
- Receipt for fees collected

(12) The FAA inspector will send the AMO's NAA:

- A copy of FAA Form 8310-3
- The originals of FAA Forms 8000-4 and FAA Automated OpSpecs

NOTE: The FAA Inspector will forward the original certificate and two original OpSpecs to the AMO. The AMO will sign and return one original of the OpSpec to the FAA. The FAA will also provide the NAA with a copy of the certificate and OpSpec by mail or fax.

7. TASK OUTCOMES.

A. The FAA inspector will complete the appropriate PTRS file by:

(1) Using PTRS codes 3653/5653 when the NAA has performed the surveillance on behalf of the FAA. The FAA inspector should use the comment codes for any significant comments when appropriate.

(2) Using PTRS codes 3045/5045 for review of documentation and processing. The FAA inspector should use the comment codes for any significant comments when appropriate.

(3) Documenting the renewal inspection by the NAA in PTRS. Repair station renewal inspection accomplished by the NAA is accomplished using the enhanced repair station baseline surveillance program

that is located in Order 8300.10, volume 3, chapter 97. PTRS activity codes 3653 and 5653 are now divided into the same 14 individual PTRS activities that make up the base line inspection for a 3650/5650 surveillance. This chapter has provided guidance for accomplishment of the surveillance of the MIP special conditions by the NAA. It also provides a means to be followed when documenting surveillance. This is to ensure the surveillance is tracked in the same manner as that of any other facility located inside or outside of the United States. The base line surveillance is initiated by opening the PTRS activity code 3653/5653. The aviation safety inspector (ASI), therefore, should enter the PTRS activity codes that correspond to the subject area covered on the FAA annex to EASA Form 6, only the inspection items identified on the FAA annex need to be addressed. When the NAA provides finding information that are not part of the FAA special conditions the FAA inspector will record that information under the appropriate PTRS code. All comments, notes, and discrepancies should be entered; this should be accomplished using existing PTRS procedures identified below.

NOTE: The incorporation of the enhanced air carrier and repair station outsource oversight system into the FSAS program and into the National Program Guidelines (NPG) system is undergoing reprogramming. In the future, the process will be automated.

(4) Entering each applicable PTRS code as individual entries.

NOTE: This is an interim procedure! The computer program is presently undergoing revision and modification.

- (3601/5601) Parts and Materials
- (3604/5604) Certificate Requirements
- (3605/5605) Records Systems
- (3606/5606) Work Away from Station
- (3608/5608) Quality Control
- (3618/5618) Air Carrier & Air Operator requirements
- (3654/5654) Maintenance Process
- (3657/5657) Housing and Facilities
- (3601/5601) Tools and Equipment
- (3659/5659) Personnel Record
- (3660/5660) Manuals
- (3661/5661) Training
- (3663/5663) Contract Maintenance
- (3656/5656) Technical Data

NOTE: PTRS codes 3650/5650 may be used when the FAA performs the surveillance as part of the sampling audit or FAA independent inspection as appropriate required by the MIP (see vol. 3, ch. 99). The inspector should use the appropriate comment codes for any significant comments. The NAA reports findings should be recorded under the correct code to capture RSAM (risk based analysis model) data for the repair station within the SPAS repair station database.

B. Update the Vital Information Subsystem (VIS) data file as appropriate from information gathered during the certification phase.

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SECTION 3. APPLICATION FOR AMENDING A REPAIR STATION CERTIFICATE OR OPSPEC (AMENDMENT APPLICATION)

1. AMENDMENT PROCEDURES.

A. Preapplication Phase. There are no FAA actions required under this phase.

B. Formal Application Phase.

(1) Each of the following actions require a part 145 certificate holder to apply for a change in a repair station certificate:

- A change in the location, housing, or facilities of the repair station (see AC 145-7, as revised for details)
- A request to add, revise, or amend a rating
- A change in ownership or name change. if the holder of a repair station certificate sells or transfers its assets, the new owner or the new certificate holder who has made the name change must apply for an amended certificate (see chap. 162 for additional information)

(2) The extent of FAA approval is in the AMO's 14 CFR part 145 Air Agency Certificate and Repair Station OpSpecs. If an AMO seeks to perform work outside the scope of its CFR part 145 repair station certification and its NAA requirements (or EASA-145 certification), it first must obtain an amendment of its NAA approval certificate and limitations (or its EASA-part 145 certificate and Approval Schedule) to permit the performance of the intended work, before amending its CFR part 145 repair station certificate.

C. NAA Responsibilities.

(1) Revisions to an AMO's FAA supplement to its manual that reflect changed procedures but do not change the nature of the AMO's part 145 certificate or ratings will be submitted to the NAA for review before implementation. Under the BASA/MIP process, it is the NAA's responsibility to review and ensure that any revision meets the requirements of AC 145-7, as revised. The NAA is not required to forward these revisions to FAA.

(2) Title 14 CFR part 145 requires a new application when the holder of a repair station certificate sells or transfers its assets. The FAA inspector must recommend a new certificate number because of the possibility of the release of information under the Freedom of Information Act (FOIA). However, should the new owner stipulate in writing that there is a clear understanding of the potential for release of information under FOIA when retaining the old certificate number, the number may be retained.

(3) *Scope of Work.* Requests for revisions to an AMO's NAA certificate and/or limitations document (or EASA Form 3 and Limitation Schedule) will be submitted to its NAA. A copy will be forwarded to the FAA for review to ensure no change in ratings is required. If changes are required, the FAA will notify the AMO via the NAA to submit FAA Form 8310-3.

(4) An AMO requesting to amend its part 145 certificate should submit the following documents to its NAA:

- FAA Form 8310-3 and any supporting documentation required by the change
- Documentation demonstrating the show-a-need requirements identified in AC 145-7, as revised for initial certification (when requesting added ratings)
- Adding a new location within the MIP country
- Adding a new line station within the MIP country

NOTE: The FAA may not accept adding new line stations or new locations that would be listed under multiple facilities, between renewal cycles. It is not practical for the FAA and the NAA to add new locations to the repair station certificate when not considered part of a renewal, the administrative burden is beyond the scope of the BASA/MIP.

(5) During the formal amendment application phase, the FAA inspector is not required to take any action other than to answer questions the NAA poses regarding compliance with FAA procedures or requirements.

D. Document Compliance Phase. The FAA has no responsibilities in this phase. This is the responsibility of the NAA per the BASA/MIP.

(1) The NAA will review the AMO's amendment application package for continued compliance with FAA Special Conditions in the MIP.

(2) The NAA will immediately inform the FAA inspector of all proposed changes to the location, housing, or facilities of the repair station that would affect the conditions of the AMO's current certificate (see AC 145-7, as revised, for criteria). After discussions with the FAA inspector, the NAA may recommend that the FAA allow the AMO to continue operating as a part 145 repair station while the proposed changes are being implemented. The NAA will inform the AMO of any conditions and immediately notify the FAA when the permitted changes have been implemented.

E. Demonstration and Inspection Phase. The FAA has no responsibilities in this phase. This is the responsibility of the NAA per the BASA/MIP.

(1) For all requests involving a change in the AMO's rating or facilities, if the information submitted by the AMO is acceptable, the NAA will conduct an on-site audit of the AMO's change using the appropriate NAA surveillance form, including FAA Special Conditions (or FAA annex to EASA Form 6) or FAA/NAA-accepted equivalent documentation. An audit conducted within the previous 90 days is acceptable if it covers the requested change.

(2) If the NAA determines the AMO is in compliance with NAA requirements (or EASA part 145) and FAA Special Conditions, the NAA will complete the appropriate surveillance form (or FAA annex to EASA Form 6) or FAA/EASA-accepted equivalent documentation, and forward the complete amendment package to the appropriate FAA IFO.

F. Certification Phase.

(1) The FAA inspector must receive the following documents from the NAA:

- FAA Form 8310-3, if the amendment affects the list of maintenance functions to be performed for the AMO under contract by another maintenance organization (if revised, must be included)
- A copy of the appropriate NAA surveillance form (or FAA annex to EASA Form 6) or FAA/EASA-accepted equivalent documentation, with the NAA recommendation
- A copy of the NAA AMO's amended certificate and limitations (or the amended EASA Form 3 and Approval Schedule)
- Adding a new location within the MIP country (if revised)
- Adding a new Line station within the MIP country (if revised)
- Training program List of effective Pages (LEP) or letter showing NAA approval on behalf of the FAA (if revised during this renewal cycle)

NOTE: The FAA cannot accept adding new line stations or new locations that would be listed under multiple facilities, between renewal cycles. It is not practical for the FAA and the NAA to add new locations to the repair station certificate/OpSpec when not considered part of a renewal, the administrative burden for both the FAA and NAA is beyond the scope of the BASA/MIP. AC 145-7, as revised.

(2) The FAA inspector will review the amendment application package and supporting documentation and ensure that the NAA surveillance form (or FAA annex to EASA Form 6) is complete and contains the NAA recommendation.

(3) *Unsatisfactory Application.* If the FAA finds the documentation supporting an AMO's application for amendment is unsatisfactory, the FAA inspector will prepare a memorandum or e-mail to the NAA indicating the deficiencies noted. The NAA, in turn, will notify the AMO of the

FAA's findings. For the application process to continue, all deficiencies the FAA noted should be corrected within 60 days of FAA's notification to the NAA, or within the time period specified in an NAA-approved corrective action plan.

(4) Findings or discrepancies noted by the NAA on the surveillance form should be handled in the same manner as described in Section 2, paragraph 5B(3).

G. Certification: FAA Responsibilities.

(1) Based on the NAA recommendation, once the FAA inspector determines the AMO meets all the requirements for the amendment, the inspector will complete FAA Form 8310-3 and issue a revised 14 CFR part 145 Air Agency Certificate and a revised Repair Station OpSpec to the AMO as specified in subparagraphs (2) and (3) below. Note this difference: on FAA Form 8000-4, the date any new ratings are added should be included, in parentheses, after the ratings.

(2) The FAA inspector will retain the following for inclusion in the AMO's certification file:

- A completed Form 8310-3
- A copy of Form 8000-4
- A copy of the Automated Repair Station OpSpecs (must include OpSpec A060)
- The appropriate NAA surveillance form, including FAA Special Conditions (or FAA annex to EASA Form 6) or FAA/NAA-accepted equivalent documentation, with NAA recommendation
- A copy of the AMO's amended certificate and limitations document (or EASA Form 3 and amended Approval Schedule)
- AC 145-7, Issuance of Repair Station Certificates to Foreign Approved maintenance Organizations under the Maintenance Implementation Procedures of a Bilateral Aviation Safety Agreement as revised (Interim BASA/MIP Guidance)

- Receipt of fees paid

(3) The FAA inspector will send the AMO's NAA:

- A copy of FAA Form 8310-3
- The originals of FAA Forms 8000-4 and FAA Automated OpSpecs

NOTE: The FAA Inspector will forward the original certificate and two original OpSpecs to the AMO. The AMO will sign and return one original of the OpSpec to the FAA. The FAA will also provide the NAA with a copy of the certificate and OpSpec by mail or fax.

3. TASK OUTCOMES.

A. Complete the appropriate PTRS file using:

- PTRS codes 3653/5653 when the NAA has performed the surveillance on behalf of the FAA; before closing the 3653/5653, review FAA annex to EASA Form 6 for additional comments that may be applicable to the amendment and recorded in the appropriate PTRS code
- PTRS codes 3045/5045 for review of documentation and processing; the FAA inspector should use the comment codes for any significant comments, when appropriate

(1) Document the certification Amendment Inspection by the NAA in PTRS. Repair station amendment inspection accomplished by the NAA is accomplished using the enhanced repair station baseline surveillance program that is located in Order 8300.10, volume 3, chapter 97. PTRS activity codes 3653 and 5653 are now divided into the same 14 individual PTRS activities that make up the base line inspection for a 3653/5653 surveillance. This chapter has provided guidance for accomplishment of the surveillance of the MIP special conditions by the NAA. It also provides a means to be followed when documenting surveillance. This is to ensure the surveillance is tracked in the same manner as that of any other facility located inside or outside of the United States. The base line surveillance is initiated by opening the PTRS activity code 3653/5653. ASI, therefore, should enter the

PTRS activity codes that correspond to the subject area covered on the FAA annex to EASA Form 6, only the inspection items identified on the FAA annex need to be addressed. When the NAA provides information that is not part of the FAA Special Conditions the FAA inspector will record that information under the appropriate PTRS code. All comments, notes, and discrepancies should be entered; this should be accomplished using existing PTRS procedures identified below.

(2) The incorporation of the enhanced air carrier and repair station outsource oversight system into the FSAS program and into the NPG system is undergoing reprogramming. In the future, the process will be automated.

NOTE: Each applicable PTRS code will need to be entered as individual entries. This is an interim procedure! The computer program is presently undergoing revision and modification.

- (3601/5601) Parts and Materials
- (3604/5604) Certificate Requirements
- (3605/5605) Records Systems
- (3606/5606) Work Away from Station

- (3608/5608) Quality Control
- (3618/5618) Air Carrier & Air Operator Requirements
- (3654/5654) Maintenance Process
- (3657/5657) Housing and Facilities
- (3601/5601) Tools and Equipment
- (3659/5659) Personnel Record
- (3660/5660) Manuals
- (3661/5661) Training
- (3663/5363) Contract Maintenance
- (3656/5656) Technical Data

NOTE: PTRS codes 3655/5655 may only be used when the FAA performs the surveillance as part of the sampling inspections required by the MIP. FAA sampling inspections requirements are contained in Order 8300.10, vol. 3, ch. 99.

B. Update the VIS data file as appropriate.